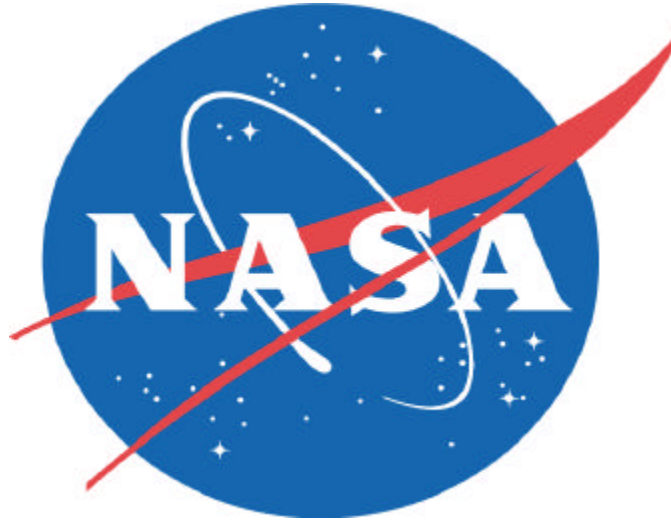Responsible Office: Code AO
Subject: IT Policy Formulation Process

Chief Information Officer

Office Work Instruction

Information Technology Policy Formulation Process

Approved by: _Original Signed by Lee B. Holcomb on December 7, 1999__

Lee B. Holcomb
Chief Information Officer

Responsible Office: Code AO
Subject: IT Policy Formulation Process

DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		December 7, 1999	

Responsible Office: Code AO
Subject: IT Policy Formulation Process

1.0   Purpose

The purpose of this OWI is to document the procedure for managing IT policy formulation from determination of the need for IT policy through availability of the signed and approved policy in the NODIS system and the CIO web site.

2.0   Scope and Applicability

2.1   Scope

This work instruction describes procedures for the NASA Chief Information Officer (CIO) Code AO Information Technology Policy Formulation Process. This process involves determining the need for IT policy consistent with NHB 1101 *NASA Organization Handbook* and NPD 1000.1 *NASA Strategic Plan*. It incorporates subsequent policy formulation, concurrence, and approval with input from Enterprise and Center representatives, and manages comment and concurrence resolution throughout the policy development process, culminating in approval as per the NASA Directives System policy, NPD 1400.1F, and posting of the approved policy.

2.2   Applicability

This work instruction for IT Policy Formulation Process applies to NASA Chief Information Officer (Code AO) office. The CIO is responsible for maintaining this document. The controlled version of this OWI is available on the NASA Intranet via the HQ ISO 9000 Document Library at http://hqiso9000.hq.nasa.gov. Any printed version of this OWI is uncontrolled (reference: HCP 1400.1, *Document and Data Control*).

3.0   Definitions

3.1	CIO	Chief Information Officer
3.2	IT	Information Technology
3.3	NODIS	NASA Online Directives System
3.4	URL	Uniform Resource Locator
3.5	Code CIC	Administrator's Correspondence Office
3.6	Code JM	Directives Management System
3.7	CIO Board	Comprised of the CIO, the Enterprise CIOs and the Center CIOs
3.8	Policy Lead	Developer of IT Policy

4.0   References

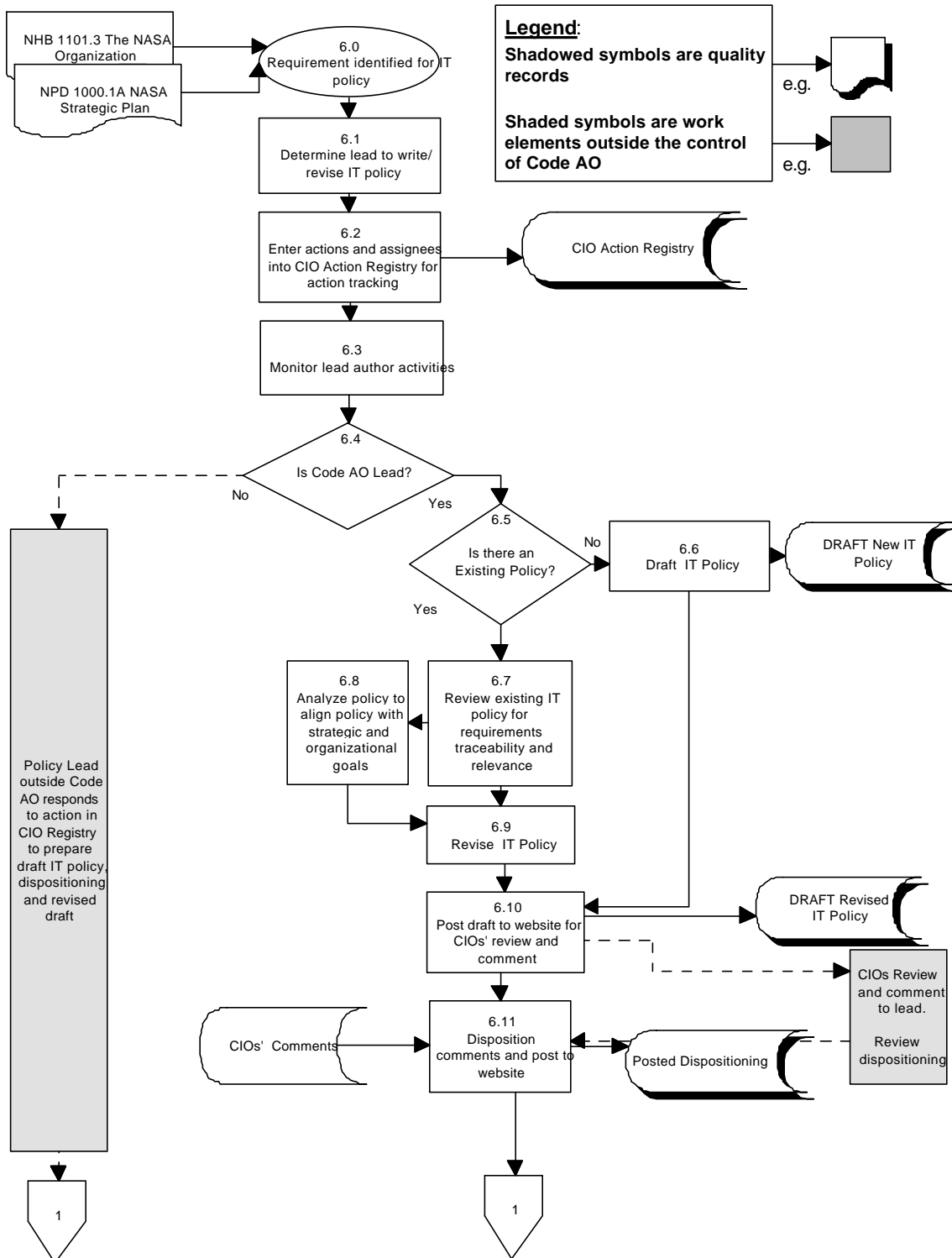|		
4.1	NPD 1000.1A	NASA Strategic Plan
4.2	NHB 1101.3	The NASA Organization
4.3	NPD 2800	Managing Information Technology
4.4	NPG 2800	Managing Information Technology
4.5	NPD 1400.1F	NASA Directives System

Responsible Office: Code AO
Subject: IT Policy Formulation Process

4.6	NPG 1400.1	NASA Directives System Procedures and Guidelines
4.7	NHQ Form 184	Directive Request Summary
4.6	NPG 1400.1	NASA Directives System Procedures and Guidelines

Responsible Office: Code AO
Subject: IT Policy Formulation Process

5.0   Flowchart

The following flowchart depicts the procedure described in Section 6. Quality records
are listed in Section 7.

Legend:
Shadowed symbols are quality records

Shaded symbols are work elements outside the control of Code AO

NHB 1101.3 The NASA Organization

NPD 1000.1A NASA Strategic Plan

6.0 Requirement identified for IT policy

6.1 Determine lead to write/ revise IT policy

6.2 Enter actions and assignees into CIO Action Registry for action tracking

CIO Action Registry

6.3 Monitor lead author activities

6.4 Is Code AO Lead?

6.5 Is there an Existing Policy?

6.6 Draft IT Policy

DRAFT New IT Policy

6.7 Review existing IT policy for requirements traceability and relevance

6.8 Analyze policy to align policy with strategic and organizational goals

6.9 Revise IT Policy

Policy Lead outside Code AO responds to action in CIO Registry to prepare draft IT policy, dispositioning and revised draft

6.10 Post draft to website for CIOs' review and comment

DRAFT Revised IT Policy

CIOs Review and comment to lead.

Review dispositioning

6.11 Disposition comments and post to website

CIOs' Comments

Posted Dispositioning

Responsible Office: Code AO
Subject: IT Policy Formulation Process

```
                        ┌───┐
                        │ 1 │
                        └─┬─┘
                          ▼
        ┌──────────────────────────┐     ╭─────────────────────╮
        │          6.12            │     │  Revised draft IT    │
        │  Revise draft IT policy  │────▶│  policy              │
        │  to reflect comments and │     ╰─────────────────────╯
        │  post to website         │ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ┐
        └──────────────────────────┘                       ▼
                          │                          ┌──────────────┐
                          ▼                          │ CIOs review  │
        ┌──────────────────────────┐                 │ revised      │
        │          6.13            │ ◀ ─ ─ ─ ─ ─ ─ ─ │ draft IT     │
        │  Capture and tally CIO   │                 │ policy and   │
        │  Board votes on revised  │                 │ participate  │
        │  draft IT Policy         │                 │ in CIO       │
        └──────────────────────────┘                 │ Board vote   │
                          │                          └──────────────┘
                          ▼
    No            ╱─────────────╲
   ┌──────────── ╱     6.14       ╲
   │             ╲  Concurrence by ╱
   │              ╲ CIO community?╱
   │               ╲─────────────╱
   │                     │ Yes
   │                     ▼
   │     ┌──────────────────────────┐     ╭─────────────────────╮
   │     │          6.15            │     │ Retained printout of│
   │     │  Delete Policy           │────▶│ CIO Action Registry │
   │     │  Formulation action from │     │ showing vote w/ date│
   │     │  CIO Action Registry     │     ╰─────────────────────╯
   │     └──────────────────────────┘
   │                     │
   │                     ▼
   │     ┌──────────────────────────┐     ╭─────────────────────╮
   │     │          6.16            │     │  CIO Action Registry│
   │     │  Enter action to track   │────▶│                     │
   │     │  Draft IT Policy through │     ╰─────────────────────╯
   │     │  signature into CIO      │
   │     │  Action Registry         │
   │     └──────────────────────────┘
   │                     │
   │                     ▼
   │     ┌──────────────────────────┐
   │     │          6.17            │ ─ ─ ─ ─ ─ ┐
   │     │  Determine reviewing     │           │
   │     │  offices and enter NODIS │           ▼
   │     │  process                 │   ┌──────────────┐   ┌──────────────┐
   │     └──────────────────────────┘   │ Complete and │   │ Assign       │
   │                     │              │ submit       │ ─▶│ document     │
   │                     │              │ Form 184     │   │ number and   │
   │                     │              │ (Code CIC)   │   │ establish    │
   │                     ▼              └──────────────┘   │ concurrence  │
   │  ╭──────────╮ ┌──────────────────┐        │          │ process      │
   │  │ Accepted │ │       6.18       │        │          │ (Code J)     │
   │  │ Form 184 │▶│ Coordinate draft │◀ ─ ─ ─ ┘ ─ ─ ─ ─  └──────────────┘
   │  ╰──────────╯ │ IT policy        │
   │               │ throughout NODIS │
   │               │ process          │
   │               └──────────────────┘
   │                     │
   │                     ▼
   │                  ┌───┐
   │                  │ 2 │
   │                  └───┘
```

Responsible Office: Code AO
Subject: IT Policy Formulation Process

2

6.22
Revise document to incorporate dispositioned comments

6.23
Contact non-responsive offices

6.19
Concurrence from reviewing offices?

Yes, With comment

6.20
Review and disposition comments and notify reviewing office

No

Yes, Without comment

6.24
Monitor status of outstanding responses

No

6.21
Document Revision Required?

Yes

No

6.25
All responses received?

Yes

Reviewing offices concurred IT Policy

6.26
Prepare Draft Approval Package and submit to Code JM

Approval Package
-Form 117
- Review Form Report
- Disposition of Comments
- Appropriate Background Material
- Draft Policy
- Form 184

Forward to CIC for editing and markup (Code JM)

Code CIC markup

6.27
Review and incorporate Code CIC changes as appropriate

Edit and markup document (Code CIC)

6.29
Continue to check for document upload,

No

6.28
Is signed policy available in NODIS?

Forward for signature (Code CIC)

Yes

URL of Signed IT policy document in NODIS

6.30
Update CIO Internal IT Policy web page with link to NODIS version of approved IT Policy

6.31
Remove Action from CIO Action Registry

Retained printout of CIO Action Registry showing Action of Approval and Signature

6.32
Approved policy implemented

Responsible Office: Code AO
Subject: IT Policy Formulation Process

6.0   Procedure

Step	Actionee	Action
6.1	CIO	*Determine lead to write/revise IT Policy*. CIO determines lead to revise existing IT Policy or write new IT Policy based on subject matter.
6.2	NASA CIO Secretary	*Enter actions and assignees into CIO Registry for action tracking.* The CIO Action Registry is used to track the development, commenting, dispositioning of comments, and CIO Board voting. Dates and action assignees are named and a Registry Action is assigned.
6.3	CIO	*Monitor policy lead activities*. The progress of the Policy Lead is monitored through the weekly teleconferences of the CIO Representatives as well as at the Face to Face meetings.
6.4	CIO	*Is Code AO Lead?* If yes, proceed to Step 6.5. If no, the Policy Lead performs out-of-scope activities to parallel steps 6.5 through 6.12.
6.5	Policy Lead	I*s there an existing Policy?* If yes, proceed to Step 6.7. If no, proceed to Step 6.6.
6.6	Policy Lead	*Draft IT Policy.* The IT Policy document is developed in draft form based on existing guidelines and technology trends. The Policy Lead ensures that the policy developed is aligned with the CIO's IT architecture and standards.
6.7	Policy Lead	*Review existing IT Policy for requirements traceability and relevance.* Using the existing IT Policy, the Policy Lead reviews the existing IT Policy to analyze differences between new or revised requirements, which may be of a regulatory or technology nature.
6.8	CIO	*Analyze policy to align policy with strategic and organizational goals.* The existing policy is analyzed to ensure the policy is correctly strategically and organizationally aligned with the Office of the CIO goals and missions.
6.9	Policy Lead	*Revise IT Policy*. Using the existing IT Policy, the Policy Lead incorporates changes/additions based upon the analysis performed in Step 6.7 – the reasons for new/modified requirements may be of a regulatory or technology nature.
6.10	Policy Lead	*Post draft to website for CIOs' review and comment.* The Policy Lead posts the Draft IT Policy to their established website to facilitate the review of the Draft IT Policy by the CIO Board. A URL pointing to this document will be made available to the CIO Board by a link from the CIO Action Registry.
6.11	Policy Lead	*Disposition comments and post to website.* The Policy Lead dispositions the CIOs' comments that are directly e-mailed to the Policy Lead. As necessary, the Policy Lead contacts the commentor directly to resolve issues. Changes are accepted, rejected or modified.
6.12	Policy Lead	*Revise draft IT policy to reflect comments and post to website.* The Policy Lead revises the Draft IT Policy based upon the dispositioning activity described in Step 6.11 and posts the latest version to the Policy Lead's website (see Step 6.11).
6.13	NASA CIO Secretary	*Capture and tally CIO Board votes on revised draft IT Policy.* As scheduled on the CIO Action Registry, after the CIOs' comments have been dispositioned and the revised Draft IT Policy has been reviewed, the CIO Board votes on the Draft IT Policy. When concurrence is reached, the Draft IT Policy will then go forward to be entered into the NODIS process.

Responsible Office: Code AO
Subject: IT Policy Formulation Process

Step	Actionee	Action
6.14	CIO	*Concurrence by CIO community?* If yes, proceed to Step 6.15. If no, return to Step 6.12.
6.15	NASA CIO Secretary	*Delete Policy Formulation action from CIO Action Registry.* The action to vote on the Draft IT Policy is deleted from the CIO Action Registry and the file capturing the Action and the date is updated.
6.16	NASA CIO Secretary	*Enter action to track Draft IT Policy through signature into CIO Action Registry.* An action, which tracks the Draft IT Policy through the NODIS System to signature, is added to the CIO Action Registry.
6.17	Code AO Directives & Standards Manager	*Determine reviewing offices and enter NODIS process.* Based upon the subject matter, the reviewing offices are determined and the list of reviewing offices given to the NODIS Manager. In an out-of-scope process, detailed in NPD 1400.1F, Form 184 is electronically completed, approved, and submitted (by Code CIC, acting as the Code AO Directives Manager) to the NODIS Manager (Code J). The out-of-scope process continues with a number for the Draft IT Policy being assigned and formally entered into the NODIS concurrence process.
6.18	Code AO Directives & Standards Manager	*Coordinate draft IT policy throughout NODIS process.* The Draft IT Policy enters the formal NODIS process to be reviewed by the selected Headquarters reviewing offices.
6.19	Policy Lead	*Concurrence from reviewing offices?* If yes, with comment, proceed to Step 6.20. If yes without comment, proceed to Step 6.24. If no, proceed to Step 6.23.
6.20	Policy Lead	*Review and disposition comments and notify reviewing office.* The Policy Lead reviews the comments received, works with the commenting office to resolve any issues regarding the comments, and dispositions the comments. The reviewing office is notified, through the means provided by the NODIS system, that their comments have been dispositioned.
6.21	Policy Lead	*Document revision required?* The Policy Lead determines from an analysis of the comments whether or not the Draft IT Policy needs to be revised. If yes, proceed to Step 6.22. If no, proceed to Step 6.24.
6.22	Policy Lead	*Revise document to incorporate dispositioned comments.* The Policy Lead revises the Draft IT Policy as necessary to incorporate the reviewing offices' comments while ensuring consistency with overall document purpose and CIO IT architecture and standards.
6.23	Code AO Directives & Standards Manager	*Contact non-responsive offices.* After the due date for comments, which is established by the NODIS process, non-responsive offices are contacted to see whether or not they will have comments or intend to concur without comment.
6.24	Code AO Directives & Standards Manager	*Monitor status of outstanding responses.* The Code AO Directives & Standards Manager continues to check to see whether or not all reviewing offices have reviewed and concurred on the Draft IT Policy by the due date established by the NODIS System process
6.25	Code AO Directives & Standards Manager	*All responses received?* If yes, proceed to Step 6.26. If no, return to Step 6.23.
6.26	Code AO Directives &	*Prepare Draft Approval Package and submit to Code JM.* The Code AO Directives & Standards Manager prepares the Draft Approval Package, as

Responsible Office: Code AO
Subject: IT Policy Formulation Process

Step	Actionee	Action
	Standards Manager	prescribed by the NODIS process, and submits it to Code JM, the NODIS System Manager, for processing through Code CIC and then final signature.
6.27	Code AO Directives & Standards Manager	*Review and incorporate Code CIC changes as appropriate.* The Code AO Directives & Standards Manager reviews each suggested change to ensure technical accuracy and incorporates the changes as determined. Coordination is closely maintained with Code CIC until Code CIC determines that the document is ready to go forward for signature.
6.28	Code AO Directives & Standards Manager	*Is signed policy available in NODIS?* If yes, proceed to Step 6.30. If no, proceed to Step 6.29.
6.29	Code AO Directives & Standards Manager	*Continue to check for document upload.* The Code AO Directives & Standards Manager monitors NODIS to determine whether or not the Document has been signed and has been uploaded by the NODIS Manager to the NODIS system and whether the approved IT Policy is available electronically through the NODIS library.
6.30	Code AO Directives & Standards Manager	*Update CIO Internal IT Policy web page with link to NODIS version of approved IT Policy.* After the approved IT Policy is available electronically through the NODIS library, the Code AO Directives & Standards Manager updates the internal CIO's NASA IT Technical Standards and IT Policy/Procedural Directives webpage (http://www.hq.nasa.gov/office/codea/codeao/xnotice.html) with the link to the approved IT Policy URL.
6.31	NASA CIO Secretary	*Remove Action from CIO Action Registry.* The action tracking the Draft IT Policy through the NODIS system to signature is deleted after the IT Policy has been signed.
6.32	CIO	*Approved policy implemented.* At the following weekly teleconference, the CIO informs the CIO Board that the IT Policy has been approved and is effective.

7.0   Quality Records

Record ID	Owner	Location	Record Media	NPG 1441.1 Schedule and Item Number	Retention/Disposition
CIO Action Registry	Code AO	Headquarters server	Electronic (http://www.hq.nasa.gov/office/codea/codeao/registry.html)	Schedule 1, Item 78C	(Per NARA) - Before 12/98: Destroy when no longer needed; - Since 12/98: Destroy when 2 years old
DRAFT (new or revised) IT Policy	Policy Lead	Headquarters server	Electronic	Schedule 1, Item 72D	Destroy copies of record material when no longer needed
Posted Dispositioning	Policy Lead	Headquarters server and Code JM	Electronic until all comments dispositioned then Hardcopy	- Electronic: Schedule 1, Item 72D - Hardcopy: Schedule 1, Item 72C	- Destroy copies of record material when no longer needed - Transfer Background and related material to Agency level issuance
Retained printout of CIO Action Registry	Code AO	Headquarters, Code AO	Hardcopy	Schedule 1, Item 78C	(Per NARA) - Before 12/98:

Responsible Office: Code AO
Subject: IT Policy Formulation Process

showing vote w/ date					Destroy when no longer needed; - Since 12/98: Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.
NHQ Form 184	Code JM	Headquarters, Code JM	Hardcopy	Schedule 1, Item 72C	Transfer Background and related material to Agency level issuance office (Code J)
Approval Package	Code JM	Headquarters, Code JM	Hardcopy	Schedule 1, Item 72C	Transfer Background and related material to Agency level issuance office (Code J)
Retained Printout of CIO Action Registry Showing Action of Approval and Signature	Code AO	Headquarters, Code AO	Hardcopy	Schedule 1, Item 78C	(Per NARA) - Before 12/98: Destroy when no longer needed; - Since 12/98: Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.